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# NASA Procedural Requirements

**COMPLIANCE IS MANDATORY****NPR 2200.2C**

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Request Notification of Change (NASA Only)

## **Subject: Requirements for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information (Updated w/change 2, 12/9/14)**

**Responsible Office: Office of the Chief Information Officer**

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## **Chapter 3. Symposium Presentations and External Publications**

### **3.1 Purpose**

3.1.1 This chapter gives the requirements that apply when NASA employees prepare papers for or participate in scientific and technical symposia and when they prepare and submit information (e.g., monographs or journal articles) for external (non-NASA) publication. Criteria for the payment of page charges for Government-sponsored research results published in professional journals are also given. Requirements presented in this chapter shall apply to contractors and grantees only if these policies and standards are provided under the terms of their contracts or grants.

### **3.2 General Requirements**

3.2.1 Papers and articles shall be prepared according to formats and standards set by individual societies and journals.

3.2.2 Dissemination of information in symposium presentations or in external publications shall be approved in accordance with procedures included in [Chapter 4](#).

3.2.3 NASA support shall be indicated.

3.2.3.1 Contractor, grantee, and cooperative agreement participants shall ensure that all symposium presentations and external publications that are derived from NASA research and development and related efforts clearly display an indication of NASA's support, preferably as a first-page footnote, unless the required style requires acknowledgement in another manner.

3.2.3.2 Works authored by NASA employees as part of their official duties and submitted for external (non-NASA) publication in scientific and technical journals, symposia proceedings, or similar works shall include the notice of copyrighted information provided in [Appendix I](#), Exhibit I.6, as appropriate, on the cover, title page, and Standard Form (SF) 298, Report Documentation Page (RDP). (See Section [3.5.8.2](#) and Appendix [D.6.6.2](#).)

3.2.4 Copies shall be provided for the STI Database.

3.2.4.1 NASA authors presenting papers not prepared as preprints in the Technical Memorandum (TM) series and authors of articles submitted to journals shall provide an electronic copy of each paper or article or the electronic file to the NASA STI Support Services for inclusion in the STI Database along with a copy of the approved NASA Form (NF) 1676, NASA Scientific and Technical Information (STI) Document Availability Authorization (DAA).

a. Authors shall also coordinate this activity through their Center's STI Manager or Technical Publications Office.

3.2.4.2 Citations and a copy of these papers, as submitted, shall be added to the STI Database with information

concerning the expected publication.

### 3.3 Projected Visuals and Journal Articles

3.3.1 Projected visuals and journal articles that are not made part of the NASA numbered series shall be reviewed via the NF-1676 (DAA) process.

3.3.2 These documents with their approved NF-1676 and an abstract shall be sent to STI Support Services for archiving by the Center DAA representative.

### 3.4 Requirements for Symposium Presentations

3.4.1 Papers presented by NASA employees at symposia shall contain substantive content in the discipline concerned, make a positive contribution to the state of knowledge, and reflect the high-professional standards under which NASA operates.

3.4.2 Papers proposed for presentation at symposia shall be reviewed in accordance with the cognizant NASA Headquarters or Center review requirements and the procedures included in [Chapter 4](#).

3.4.3 Technical accuracy, appropriateness to the subject matter of the meeting, compatibility with NASA's interest and responsibilities, avoidance of classified or restricted-access information, and quality of the data and information shall be considered in the review.

3.4.3.1 Because many presentations of papers are followed by their incorporation in proceedings or other professional publications, the technical quality and value of such presentations shall be of paramount consideration in the review.

3.4.3.2 NASA Headquarters or Center reviewers shall ensure in their reviews that papers that describe NASA program activities are properly presented at symposia by personnel well acquainted with the activities.

#### 3.4.4 Presentation of Unclassified Information

3.4.4.1 To promote NASA's ability to meet its statutory requirement of ensuring the widest practicable and appropriate dissemination of STI, all NASA unclassified presentations or papers shall be delivered in unclassified sessions (those that are not labeled classified and/or have attendance restricted to persons having prescribed security clearances).

3.4.4.2 NASA unclassified presentations or papers shall be included in unclassified documents whenever feasible.

#### 3.4.5 Presentation of Protected Information

3.4.6 Restricted-access information is information whose publication or distribution is restricted by law, regulation, or policy such as described in [Section 4.2.4](#). Restricted-access information shall not be presented at unrestricted meetings. Authors may do the following.

3.4.6.1 Omit such information from symposium presentations so that meetings can be open when possible and so that publications resulting from these meetings can be made available to the public.

3.4.6.2 Restrict this information to special sessions at which attendees have been appropriately cleared.

3.4.7 When NASA sponsors an unclassified meeting or workshop in which restricted-access information may be presented (e.g., information covering technology that needs to be protected from public disclosure), the NASA organizers shall produce the following:

3.4.7.1 A limited-distribution document that shall contain the entire meeting results.

3.4.7.2 Or preferably, an unclassified/unlimited distribution document that shall contain as much information as possible, and an appropriately marked companion document containing only the information that needs to be restricted.

a. The distribution of the companion document shall be appropriately limited.

3.4.7.3 Restricted-access information that shall be clearly marked as such on each page containing the restricted information.

#### 3.4.8 Presentation of Classified Information

3.4.8.1 Classified information shall be identified, marked, and handled in accordance with NPR 1600.1.

3.4.8.2 Classified information shall be included in symposium presentations, presented at classified sessions, and/or included in classified proceedings or other publications only when it is essential to the presentation.

3.4.9 A paper presented by a NASA employee shall be prepared and published in the TM series as a preprint for distribution if needed for a conference.

3.4.10 Block 13, SUPPLEMENTARY NOTES, of the SF-298 (RDP) for the preprint shall state the name and date of the meeting. The name and date of the meeting may also be placed on the title page.

3.4.11 No commitments, such as producing and distributing a NASA Conference Publication (CP), shall be made that will result in NASA becoming the principal resource for a symposium unless NASA sponsorship is approved as an official function.

## 3.5 Requirements for External Publications

3.5.1 Payment of charges imposed by publishers for including articles or papers in their publications shall be the responsibility of the originating Center. Guidelines for the use of private publishers are given in Section 5.7.

3.5.2 The publication of STI through non-NASA channels shall not preclude the publication of equivalent information by NASA.

3.5.3 For example, significant findings shall be reported initially in a prominent journal (in which space limitations might constrain complete presentation of text and figures).

3.5.4 A more detailed documentation of these findings shall then be published in an appropriate NASA STI Report Series publication.

3.5.5 To avoid duplication, authors shall not publish identical NASA material through different channels with the following exception:

3.5.6 Preprints of journal articles (e.g., journal articles as submitted to the journal) or presentations made at professional meetings that may or may not appear in subsequently published proceedings may be published as a Technical Memorandum (TM) or Contractor Report (CR).

3.5.6.1 Authors shall note on the SF-298 (RDP) and NF-1676 (DAA) that the journal article is a preprint.

### 3.5.7 Copyrights and Government Use

3.5.8 Publications authored solely by U.S. Government employees as part of their official duties are not protected by copyright in the United States. Because there is no copyright to assign to a publisher if NASA-authored STI is published through a non-NASA publication, NASA may use and distribute the preprint: that is, the work as submitted to the publisher (original manuscripts, charts, photographs, etc.). Moreover, if the publisher does not add original, copyright-protected content (e.g., publisher prepared abstracts or peer review comments), NASA may reproduce and disseminate an exact copy of the published work either in NASA reports or on a NASA public Web site. If the publisher adds original content, the publisher may assert copyright in the paper as published (but the copyright applies only to the original material added by the publisher). If the publisher has added original material, NASA shall not distribute the published version of the article unless permission is obtained from the publisher.

3.5.8.1 When an article produced under a NASA-funded contract, grant, or cooperative agreement is published in a professional journal, the non-Government author often assigns copyright to the publisher. Under the contract or grant, NASA has a license to use and distribute information resulting from the contract or grant. Thus, NASA may use and distribute the preprint (i.e., the work as submitted to the publisher). However, permission from the publisher shall be obtained to reuse or republish the article as published in the journal.

3.5.8.2 An acknowledgment of Government rights shall be included on all NASA STI published through a non-NASA publication.

3.5.8.3 NASA civil-servant-authored papers shall include one of the copyright statements provided in [Appendix I](#), Exhibit I.6, as appropriate (see Section 3.2.3.2 and Appendix D.6.6.2).

3.5.8.4 Contractors, grantees, and cooperative agreement participants shall include a statement acknowledging NASA sponsorship (including the contract or grant number) when articles containing data produced under a NASA contract or grant are published. Notice for Copyright Information (Contractor-Prepared Work), found in [Appendix I](#), provides a statement for use with STI developed under a NASA funding agreement.

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